

Amendments to the Claims:

This listing of claims will replace all prior versions, and listings, of claims in the application:

Listing of Claims:

9/6/11
1. (Currently amended) A method for reconciliation of fund manager and custodian account records, comprising:

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receiving a first account record by a database electronically from one of an internal portfolio tracking system of a fund manager and a custody network of a custodian and receiving a second account records record by the database from the other of the internal portfolio tracking system of the fund manager and the custody network of the custodian;

automatically comparing the account records by a computer application according to predefined matching rules for at least one item of account data selected from a group of account data items consisting of account number, security identification, units, unit cost, total cost, unit price, and total market value to identify one of matched and unmatched first and second account records; and

if unmatched account records are identified in the comparison, generating a report of the comparison by the computer application identifying the unmatched account records accessible for display by the fund manager and the custodian, allowing a manual match of the unmatched account records on the database by either one of the fund manager and the custodian, and storing an historical record of the manual match by the computer application accessible by either one of the other of the fund manager and the custodian;

2. (Original) The method of claim 1, wherein receiving the account records further comprises receiving the first and second account records for one of a position and a transaction.

3. (Original) The method of claim 2, wherein receiving the account records for the position further comprises receiving the first and second account records for one of a securities position and a cash position.

4. (Original) The method of claim 2, wherein receiving the account records for the transaction further comprises receiving the first and second account records for one of a securities transaction and cash transaction.

5. (Canceled) ✓

6. (Canceled) ✓

7. (Canceled) ✓

a2 8. (Currently amended) The method of claim 7 1, wherein receiving the account record electronically ~~via the interface to~~ from the custody network of the custodian further comprises receiving the account record electronically via a proprietary financial network.

9. (Canceled) ✓

a3 10. (Currently amended) The method of claim 9 1, wherein receiving the account records by the database further comprises receiving the account records by a service bureau database.

11. (Currently amended) The method of claim 1, wherein automatically comparing the account records further comprises uploading the account records to a the database.

12. (Original) The method of claim 11, wherein uploading the account records further comprises formatting the account records.

13. (Original) The method of claim 12, wherein uploading the account records further comprises parsing the account records.

14. (Original) The method of claim 13, wherein uploading the account records further comprises validating the account records.
15. (Original) The method of claim 11, wherein uploading the account records further comprises uploading the account records according to a predefined schedule.
16. (Original) The method of claim 1, wherein automatically comparing the account records further comprises predefining the matching rules.

ay 17. (Currently amended) The method of claim 16, wherein predefining the matching rules further comprises predefining available match groups for a the fund manager and a the custodian.

18. (Original) The method of claim 16, wherein predefining the matching rules further comprises predefining the matching rules for the account records for at least one of a position and a transaction.

19. (Original) The method of claim 18, wherein predefining the matching rules further comprises predefining substantially similar matching rules for the account records for the position and transaction.

20. (Original) The method of claim 18, wherein predefining the matching rules further comprises predefining different matching rules for the account records for the position and transaction.

21. (Original) The method of claim 16, wherein predefining the matching rules further comprises predefining matching criteria in terms of a tolerance in at least one of percentage terms and nominal terms.

22. (Canceled)

23. (Original) The method of claim 16, wherein predefining the matching rules further comprises predefining the matching rules in terms of levels of match success.

24. (Canceled)

25. (Canceled)

0.5 26. (Currently amended) The method of claim 24 1, wherein generating the report further comprises allowing a user at least one of the fund manager and the custodian to download the report in a file.

27. (Canceled)

28. (Canceled)

29. (Canceled)

0.6 30. (Currently amended) The method of claim 29 1, wherein displaying the report further comprises displaying the unmatched first and second account records simultaneously for ~~the user~~ either one of the fund manager and the custodian on a consolidated screen.

31. (Currently amended) The method of claim 29 1, wherein displaying the report further comprises prompting ~~the user~~ either one of the fund manager and the custodian for entry of the manual match.

32. (Original) The method of claim 1, wherein allowing the manual match further comprises identifying a reason for the manual match.

33. (Original) The method of claim 32, wherein identifying the reason further comprises storing a record of the reason for the manual match.

34. (Original) The method of claim 33, wherein storing the record further comprises allowing a retrieval of the record of the reason for the manual match.

0.7 35. (Currently amended) A system for reconciliation of fund manager and custodian account records, comprising:

means a computer database adapted for receiving a first account record electronically from one of an internal portfolio tracking system of a fund manager and a custody network of a custodian and for receiving a second account records record from the other of the internal portfolio tracking system of the fund manager and the custody network of the custodian;

means a computer application preprogrammed for automatically comparing the received account records according to predefined matching rules for at least one item of account data selected from a group of account data items consisting of account number, security identification, units, unit cost, total cost, unit price, and total market value to identify one of matched and unmatched first and second account records; and

wherein if unmatched account records are identified in the comparison, means the computer application is further preprogrammed for generating a report of the comparison identifying the unmatched account records accessible for display by the fund manager and the custodian, for allowing a manual match of the unmatched account records on the database by either one of the fund manager and the custodian, and for storing an historical record of the manual match accessible by either one of the other of the fund manager and the custodian.

36. (Canceled) ✓

37. (Canceled) ✓

38. (Canceled) ✓

39. (Currently amended) The system of claim 38 35, wherein the ~~means for receiving the account records electronically via the interface to the custody network of the custodian further comprises means~~ computer database is further adapted for receiving the account records electronically via a proprietary financial network.

40. (Canceled)

41. (Currently amended) The system of claim 40 35, wherein the ~~means for receiving the account records~~ database further comprises a service bureau database.

42. (Currently amended) The system of claim ~~1~~ 35, wherein the ~~means for comparing the account records further comprises means for uploading~~ database is further adapted for receiving an update of the account records to a database.

43. (Currently amended) The system of claim 42, wherein the means for uploading database is further adapted for receiving the update of the account records to the database further comprises means for uploading the account records according to a predefined schedule.

44. (Canceled) ✓

45. (Canceled) ✓

46. (Currently amended) The system of claim 45 35, wherein the ~~means for generating the report~~ further comprises comprising a terminal for displaying the report for a user.

47. (Canceled) ✓

48. (Canceled) ✓

49. (Currently amended) The system of claim 48 46, wherein the ~~means for generating the report further comprises means~~ computer application is further adapted for displaying the unmatched first and second account records simultaneously for the user on a consolidated display at the terminal.

50. (Currently amended) The system of claim ~~1~~ 35, wherein the ~~means for allowing the manual match further comprises means~~ computer application is further preprogrammed for storing a record of a reason for the manual match.

51. (Currently amended) The system of claim 50, wherein the ~~means for storing the~~
~~record of the reason further comprises means~~ computer application is further
preprogrammed for allowing retrieval of the ~~record of the reason~~ for the manual match.
